

1004 Rec'd PCT/PTO 04 JAN 2001

FORM PTO-1390  
REV. 5-93

US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEYS DOCKET NUMBER  
**P00,1938**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**09/743186**

INTERNATIONAL APPLICATION NO.  
**PCT/DE99/01978**

INTERNATIONAL FILING DATE  
**01 JULY 1999**

PRIORITY DATE CLAIMED  
**06 JULY 1998**

**TITLE OF INVENTION**

**METHOD AND ARRANGEMENT FOR DETERMINING A REGULATING VARIABLE OF A TECHNICAL SYSTEM THAT  
IS DESCRIBED WITH A PREDETERMINED MODEL DESCRIPTION IN A PREDETERMINED SPACE**

**APPLICANT(S) FOR DO/EO/US**

**HENNING LENZ ET AL.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of International Application as filed (35 U.S.C. 371(c)(2)) - drawings attached.
    - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)) - drawings attached.
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:**
11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report, 11 References).
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  
**(SEE ATTACHED ENVELOPE)**
  13. ☒ Amendment "A" Prior to Action and Appendix "A".  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☒ A substitute specification and Mark-Up for Substitute Specification.
  15. ☒ A change of address letter attached to the Declaration.
  16. ☒ Other items or information:
    - a. ☒ Request for Approval of Drawing Modifications, 2 sheets of drawings, Figures 1-3.
    - b. ☒ Appointment of Associate Power of Attorney
    - c. ☒ EXPRESS MAIL #EL655303055US dated January 4, 2001.

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.53)

INTERNATIONAL APPLICATION NO.

ATTORNEY'S DOCKET NUMBER

09/743036

PCT/DE99/01978

000,1938

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) .. \$690.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$710.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international  
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1000.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate		
Total Claims	28 - 20 =	8	X \$ 18.00	\$ 144.00	
Independent Claims	03 - 3 =	0	X \$ 80.00	\$	
Multiple Dependent Claims			\$270.00 +	\$	

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1004.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 1004.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 1004.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**TOTAL FEES ENCLOSED =**

\$ 1004.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 1004.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 50-1519. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SCHIFF HARDIN & WAITE  
PATENT DEPARTMENT  
6600 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6473

SIGNATURE

Mark Bergner

NAME

45,877

Registration Number

09/743186

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**Express Mail Mailing Label Number EL655303055US**

**JC04 Rec'd PCT/PTO 0 4 JAN 2001**

**Date of Deposit: January 4, 2000**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

**Case Number: P00,1938  
Applicant(s): Henning Lenz et al.  
International Application No. PCT/DE99/01978  
International Filing Date 01 July 1999  
Priority Date Claimed 06 July 1998  
Title: METHOD AND ARRANGEMENT FOR DETERMINING A  
REGULATING VARIABLE OF A TECHNICAL SYSTEM THAT  
IS DESCRIBED WITH A PREDETERMINED MODEL  
DESCRIPTION IN A PREDETERMINED SPACE**

**Enclosed are the following documents:**

International application as filed, drawings attached;  
English Translation, translated drawings attached;  
Executed Declaration;  
Change of Address form for Applicants' Representative;  
PTO 1390 in duplicate;  
Appointment of Associate Power of Attorney;  
Amendment "A" prior to action and Appendix "A";  
Information Disclosure Statement, PTO 1449, Search Report, 11 References;  
Substitute Specification and Mark-Up for Substitute Specification;  
Drawing Modifications, 2 sheets of drawings, Figures 1-3;

**Fee: \$1004.00**

**Postcard.**

**(See attached envelope for Executed Assignment;  
PTO 1595; \$40.00 filing fee; Postcard)**

  
Signature of person mailing documents and fees

BOX PCT  
IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY--CHAPTER II

APPLICANT(S): HENNING LENZ ET AL  
ATTORNEY DOCKET NO.: P00,1938  
INTERNATIONAL APPLICATION NO: PCT/DE99/01978  
INTERNATIONAL FILING DATE: 01 JULY 1999  
INVENTION: METHOD AND ARRANGEMENT FOR DETERMINING A  
REGULATING VARIABLE OF A TECHNICAL SYSTEM THAT  
IS DESCRIBED WITH A PREDETERMINED MODEL  
DESCRIPTION IN A PREDETERMINED SPACE

Assistant Commissioner for Patents,  
Washington, D.C. 20231

**REQUEST FOR APPROVAL OF DRAWING MODIFICATIONS**

Sir:

Enclosed are 2 sheets of drawings, Figures 1-3, showing in red, the addition of labels to the elements depicted in Figure 1. Approval of the additions is respectfully requested.

Submitted by,



(Reg. No. 45,877)

Mark Bergner  
SCHIFF HARDIN & WAITE  
PATENT DEPARTMENT  
6600 Sears Tower  
Chicago, Illinois 60606-6473  
(312) 258-5779  
Attorney for Applicant(s)

BOX PCT  
IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY--CHAPTER II

APPLICANT(S): HENNING LENZ ET AL  
ATTORNEY DOCKET NO.: P00,1938  
INTERNATIONAL APPLICATION NO: PCT/DE99/01978  
INTERNATIONAL FILING DATE: 01 JULY 1999  
INVENTION: METHOD AND ARRANGEMENT FOR DETERMINING A  
REGULATING VARIABLE OF A TECHNICAL SYSTEM THAT  
IS DESCRIBED WITH A PREDETERMINED MODEL  
DESCRIPTION IN A PREDETERMINED SPACE

Assistant Commissioner for Patents,  
Washington, D.C. 20231

S I R:

Members of the firm of Hill & Simpson designated on the original Power of Attorney have merged into the firm of Schiff Hardin & Waite. All future correspondence for the above-referenced application therefore should be sent to the following address:

**SCHIFF HARDIN & WAITE**  
**Patent Department**  
**6600 Sears Tower**  
**233 South Wacker Drive**  
**Chicago, Illinois 60606-6473**

Submitted by,

*Mark Bergner*

(Reg. No. 45,877)

Mark Bergner  
SCHIFF HARDIN & WAITE  
Patent Department  
6600 Sears Tower  
Chicago, Illinois 60606-6473  
Telephone: (312) 258-5779  
Attorneys for Applicants